

**SES Performance Management System
Executive Performance Agreement**



Part 1. Consultation. *I have reviewed this plan and have been consulted on its development.*

Executive's Name (Last, First, MI): David A. Bloom	Appraisal Pd. 10/1/13 – 9/30/14
Executive's Signature:	Date: 12/20/2013
Title: Acting Deputy CFO	Organization: OCFO
Rating Official's Name (Last, First, MI): FROELICH, MARYANN	CA <input type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/>
Rating Official's Signature:	Date: 12/20/13

Part 2. Progress Review

Executive's Signature:	Date: 4/17/2014
Rating Official's Signature:	Date: 4/17/14
Reviewing Official's Signature (Optional):	Date:

Part 3. Summary Rating

Initial Summary Rating	(b) (6)				
	Outstanding	Commendable	Effective	Needs Improvement	Unsatisfactory
Rating Official's Name (Last, First, MI): Gina McCARTHY					
Rating Official's Signature:					
Executive's Signature:	Date: 11/17/14				
Reviewing Official's Signature (Optional):	Date: 11/17/14 11/18/14				

Higher Level Review (if applicable)

<input type="checkbox"/> I request a higher level review.	Executive's Initials:	Date:
Higher Level Review Completed <input type="checkbox"/>	(b) (6)	
Higher Level Reviewer Signature:	(b) (6)	

Performance Review Board Recommendation

PRB Chair Signature:	Date: DEC 15 2014
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Annual Summary Rating

Appointing Authority Signature:	(b) (6)
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Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b) (6)		10	(b) (6)		475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People			20			
3. Business Acumen			10			
4. Building Coalitions			10			
5. Results Driven			50			
Total			100%			

Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points
 Level 4 = 4 points
 Level 3 = 3 points
 Level 2 = 2 points
 Level 1 = 0 points

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Executive's Name (Last, First, MI): David A. Bloom	Appraisal Pd. 10/1/13 – 9/30/14
Executive's Signature:	Date: 12/20/2013
Title: Acting Deputy CFO	Organization: OCFO
Rating Official's Name (Last, First, MI): FROELICH, MARYANN	CA <input type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/>
Rating Official's Signature:	Date: 12/20/13

Part 2. Progress Review

Executive's Signature:	Date: 4/17/2014
Rating Official's Signature:	Date: 4/27/14
Reviewing Official's Signature (Optional):	Date:

Part 3. Summary Rating

Initial Summary Rating	(b) (6)				
	Outstanding	Commendable	Effective	Needs Improvement	Unsatisfactory
Rating Official's Name (Last, First, MI): Gina McCarthy					
Rating Official's Signature:					Date: 11/17/14
Executive's Signature:					Date: 11/17/14 11/18/14
Reviewing Official's Signature (Optional):					Date:

Higher Level Review (if applicable)

<input type="checkbox"/> I request a higher level review.	Executive's Initials:	Date:
Higher Level Review Completed <input type="checkbox"/>		Date:
Higher Level Reviewer Signature:		

Performance Review Board Recommendation

<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
PRB Chair Signature:				Date:

Annual Summary Rating

<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Appointing Authority Signature:				Date:

Part 4. Derivation Formula and Calculation of Annual Summary Rating

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5. Results Driven			50			
Total			100%			

Critical Element 1. Leading Change

(Minimum weight 5%)

(b) (6)

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Not used at this time.

Rating Official Narrative:

(b) (6)

Critical Element Rating – Leading Change

(b) (6)

Critical Element 2. Leading People

(Minimum weight 5%)

Weight 20%

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations. Engages in proactive efforts to promote diversity and inclusion within the workplace.

Rating Official Narrative:

(b) (6)

Critical Element Rating – Leading People

(b) (6)

Critical Element 3. Business Acumen**(Minimum weight 5%)****(b) (6)**

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative:

(b) (6)**Critical Element Rating – Business Acumen****(b) (6)****Critical Element 4. Building Coalitions****(Minimum weight 5%)****(b) (6)**

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements
Not used at this time.

Rating Official Narrative:

(b) (6)**Critical Element Rating – Building Coalitions****(b) (6)**

Critical Element 5. Results Driven

(Minimum Weight 20%)

(b) (6)

Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

Performance Requirement 1:

Review/improve Agency operations during FY 2014 to apply cost savings to mission critical operations. Direct the formulation and execution of the Agency's budget within established timeframes, and in a manner that reflects the Administrator's priorities, including preparation for OMB and Congressional hearings. Work with other senior leaders in headquarters and regional offices in resolving critical issues in a timely manner resulting in more effective operations.

Strategic Alignment:

Supports Administrator's 7 key themes and outcomes of all 5 goals of the *2011-2015 EPA Strategic Plan* and the cross cutting fundamental strategies.

Performance Requirement 2:

Strengthen resource stewardship internally and across the agency by establishing, monitoring, and improving financial/administrative controls; issuing new financial management policies/policy revisions and stewardship plans; and ensuring Agency-wide compliance through active monitoring and leading policy verification efforts. Enhance internal controls by directing the implementation of activities that increase OCFO's and the Agency's compliance with administrative processes such as approval of time & attendance, compliance with travel requirements, appropriate use of overtime and comp time, and conference-related spending. Obtain a clean audit opinion.

Strategic Alignment:

Supports Administrator's 7 key themes and outcomes of all 5 goals of the *2011-2015 EPA Strategic Plan* and the cross cutting fundamental strategies.

Rating Official Narrative:

(b) (6)

(b) (6)

Critical Element Rating – Results Driven

(b) (6)

Critical Element 5. Results Driven – Overflow page for up to 8 more performance requirements; Calibri 10 font required.**Performance Requirement 3:**

Enhance OCFO's systems through continued improvement of the agency's financial systems, including developing new reports to meet user needs and further refinement of business processes; ensuring proper governance of Compass by setting priorities and engaging affected Agency managers; ensuring Agency administrative systems are properly integrated with Compass; and directing OCFO's participation in the HRLoB effort to migrate the agency's payroll and HR IT functions to DOI's Interior Business Center. Ensure accurate and proper maintenance of existing payroll data and implement new business processes for time and attendance functions.

Strategic Alignment:

Supports Administrator's 7 key themes and outcomes of all 5 goals of the *2011-2015 EPA Strategic Plan* and the cross cutting fundamental strategies.

Performance Requirement 4:

In FY 2014, work with agency senior managers to implement EPA's FY 2014-2018 Strategic Plan, FY 2014 XCFS Action Plans and Key Performance Indicators, and new FY 2014-2015 Priority Goals, meeting GPRMA and OMB A-11 requirements. Improve agency analysis of performance data, advancing progress under FY 2014-2018 Plan.

Strategic Alignment:

Supports Administrator's 7 key themes and outcomes of all 5 goals of the *2011-2015 EPA Strategic Plan* and the cross cutting fundamental strategies.

Performance Requirement 5:

Implement the FY 2014 Action Plan for Embracing EPA as a High Performing Organization through monitoring and reducing unliquidated obligations and carryover and leading and supporting workforce planning efforts as part of the budget formulation process.

Strategic Alignment:

Supports Administrator's 7 key themes and outcomes of all 5 goals of the *2011-2015 EPA Strategic Plan* and the cross cutting fundamental strategies.

Performance Requirement 6:

In FY 2014, increase efficiency of operations/delivery of: (1) financial services to employees, vendors and grantees and through e-relocation and conference and meeting planning services within or outside of current customer base; and contributing to OMB-driven government-wide reforms; and (2) environmental financing services through the Financial Advisory Board (EFAB) and the Environmental Finance Centers.

Strategic Alignment:

Supports Administrator's 7 key themes and outcomes of all 5 goals of the *2011-2015 EPA Strategic Plan* and the cross cutting fundamental strategies.

Performance Requirement 7:

Enhance relations with Appropriations Committee staff during the fiscal year to advance Agency and Administration policies and priorities, as reflected in an Appropriations Act.

Strategic Alignment:

Supports Administrator's 7 key themes and outcomes of all 5 goals of the *2011-2015 EPA Strategic Plan* and the cross cutting fundamental strategies.

Performance Requirement 8:

Develop and utilize alternative approaches to doing business differently in OCFO and across the agency through streamlining business processes to gain efficiencies and reduce workload (i.e. LEAN); implementing activities that advance succession planning and the recruitment plan to help ensure long term workforce stability; and improving Best Places to Work in the Federal Government scores for effective leadership by implementing a strategy to promote professional development and empowerment.

Strategic Alignment:

Supports Administrator's 7 key themes and outcomes of all 5 goals of the *2011-2015 EPA Strategic Plan* and the cross cutting fundamental strategies.

Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.

(b) (6)

David Bloom

(b) (6)



Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements and EEO and Diversity within the 2 pages provided. Calibri 10 font required.

(b) (6)

(b) (6)

(b) (6)



(b) (6)



Section E

Senior Executive Development Plan

Employee Name (Last, First, MI)

Bloom, David A.

Performance Period

From: 1/01/14

To: 12/31/2015

Long Term
Goal:

(b) (6)

Short Term
Goal:

(b) (6)

Career Goals & Development Objectives

Specific Development Activities

Goals/Objectives

(b) (6)

Activity

Time Frame

2014 – 2015

2014 – 2015

2014

2015

2014 - 2015

Discussion and/or
approval of the
Individual Development
Plan.

Employee

Signature



Date

12/10/2013

Supervisor

Signature



Date

12/20/13

Approving Official

Signature

Date